

Amendments to the Claims

Please amend claims 1, 2, 4 and 21. The Claim Listing below will replace all prior versions of the claims in the application:

Listing of claims:

1. (Currently amended) A finance system supporting a plurality of different types of employee stock plans comprising:

 a processor module coupled to memory that comprises volatile data storage;
 the processor module being programmed executes instructions to:

 communicate with a plurality of remote administration system module
 modules, each of the plurality of remote administration system module modules
 comprising non-volatile data storage that stores a plurality of master brokerage
 accounts, each of the plurality of master brokerage accounts comprising
 individual participant information in at least one of the plurality of different types
 of employee stock plans;

 the processor module of the finance system being programmed to receive,
 from each of the plurality of remote administration system module modules, a
 plurality of limited brokerage accounts, each of the limited brokerage accounts
 comprising a subset of the individual participant information from a
 corresponding master brokerage account;

 the processor module of the finance system being programmed to store the
 plurality of limited brokerage accounts in the volatile data storage of the finance
 system;

 the processor module of the finance system being programmed to execute
 present an interface system module through which a participant accesses
 participant information in a limited brokerage account and through which the
 participant interacts with a trading system to conduct individual participant
 transactions on a public exchange;

~~the processor module of the finance system being programmed to update the participant information of the limited brokerage account in the volatile data storage according to the individual participant transactions conducted by the participant; and~~

~~the processor module of the finance system being programmed to transmit the participant information updated in the limited brokerage account to a corresponding master brokerage account stored in the non-volatile data storage of a corresponding one of the plurality of remote administration system module modules.~~

2. (Currently amended) The system of claim 1 ~~further comprising wherein:~~
~~the processor module of the finance system being programmed to execute executes instructions to generate~~ a reporting system module that generates reports based on the participant information of the plurality of limited brokerage accounts stored in the volatile data storage of the finance system.
3. (Previously presented) The system of claim 1, wherein the employee stock plan comprises at least one of an employee stock option plan (ESOP), a restricted stock award (RSA) plan, and an employee stock purchase plan (ESPP) that is administered by a financial services organization.
4. (Currently amended) The system of claim 2, wherein the processor ~~module is programmed executes instructions~~ to create user profiles associated with an employer profile and the reporting system module generates the reports in accordance with respective user profiles.
5. (Canceled)
6. (Previously presented) The system of claim 2, wherein the interface system module enables user selection of a report template and corresponding parameters for the selected report

template, and the reporting system module generates the reports in accordance with the selected report template.

7. (Original) The system of claim 2, wherein the reports relate to at least one of grants outstanding, grants exercised, or options dilution.

8. (Previously presented) The system of claim 2, wherein the interface system module enables a user to set parameters including at least a filtering criteria parameter to filter the reports and sort criteria for sorting the reports.

9. (Canceled)

10. (Canceled)

11. (Previously presented) The system of claim 1, wherein the interface system module enables the participant to make a selection regarding a distribution election for the employee stock plan.

12. (Previously presented) The system of claim 1, wherein the interface system module enables the participant to make a selection regarding a contribution election for the employee stock plan.

13. (Previously presented) The system of claim 1, wherein the interface system module enables the participant to make a selection regarding a tax election for the employee stock plan.

14. (Previously presented) The system of claim 1, wherein the interface system module enables the participant to access an online form relating to the employee stock plans.

15. (Previously presented) The system of claim 1, wherein the interface system module notifies the participant, regarding the respective employee stock plan, of at least one of: stock

option grants acceptance pending, stock option grants expiring, restricted stock tax election not chosen, cash payment due, enrollment election and distribution election.

16. (Previously presented) The system of claim 1, wherein the interface system module notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

17. (Previously presented) The system of claim 1, wherein the interface system module interacts with at least one user to perform block trades for shares acquired by the participant pursuant to the employee stock plan; and

the participant information in the volatile data storage is updated according to the block trades performed.

18. (Previously presented) The system of claim 1, wherein the interface system module enables a user to sell a block of shares in multiple trades on behalf of the participant for shares acquired by the participant pursuant to the employee stock plan by entering a share quantity and price for each trade; and the participant information in the volatile data storage is updated according to the block trades performed.

19. (Previously presented) The system of claim 1, wherein the interface system module interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising means for linking the check and the journal so that an entry made by the user for the journal is automatically carried over to an entry for the check.

20. (Previously presented) The system of claim 1, wherein the interface system module interacts with at least one user to enable the user to view trade entries for the employee stock plan, and in response thereto, enter an approved or disapproved status for at least one of an associated check and an associated journal, the interface system further comprising means for

linking the check and the journal so that an entry made by the user for the journal is automatically carried over to a related entry for the check wherein the user is enabled to correct, via the interface system, the trade entries.

21. (Currently amended) A method for supporting a plurality of different types of employee stock plans in a finance system, comprising:

receiving, from a plurality of remote administration system module modules, a plurality of limited brokerage accounts, each of the limited brokerage accounts comprising a subset of individual participant information of a corresponding master brokerage account stored in non-volatile data storage of the a corresponding one of the plurality of remote administration system module modules;

storing the plurality of limited brokerage accounts in volatile data storage of the finance system;

presenting an interface system module through which a participant accesses participant information in a limited brokerage account and through which the participant interacts with a trading system to conduct individual participant transactions on a public exchange;

updating the participant information of the limited brokerage account in the volatile data storage according to the individual participant transactions conducted by the participant; and

transmitting the participant information updated in the limited brokerage account to a corresponding master brokerage account stored in the non-volatile data storage of a corresponding one of the plurality of the remote administration system module modules.

22. through 34. (Canceled)

35. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to make a distribution election selection related to the employee stock plan.

36. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to make a distribution election selection related to the employee stock

plan, wherein the distribution elections include at least one of: maintaining funds in a limited brokerage account of the financial services organization, transferring funds to an external account, receiving funds via a check, selling shares via block trading, and obtaining shares via physical certificate.

37. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to make a contribution election selection related to the employee stock plan.

38. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to make a tax election selection related to the employee stock plan.

39. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to access an online form associated with the employee stock plan.

40. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to access an online form associated with the employee stock plan, the online form including at least one of: a wire transfer instruction form, a stock option account activation form, and an electronic share transfer form.

41. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to select at least one of a current enrollment period and a future enrollment period in making a selection.

42. (Previously presented) The method of claim 21, wherein the interface system module enables the participant to make a selection regarding at least one of: designating a payroll deduction, stopping future contributions, and withdrawing previous contributions from their employee stock plan.

43. (Previously presented) The method of claim 21, wherein the interface system module notifies the participant of at least one of: a stock option grant pending acceptance, an expiring stock option grant, a restricted stock tax election not chosen, cash payment due, and an enrollment election and distribution election.

44. (Previously presented) The method of claim 21, wherein the interface system module notifies the participant of at least one of a restricted stock award and a stock option grant/award, and enables the participant to accept, reject or defer acceptance of the award.

45. through 62. (Canceled)